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JC759 U.S. PTO

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PTO/SB/05 (4/98)  
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket 01985-P0040A

First Inventor or Application Identifier P. Howard Edelstein, et al.

Title System For Facilitating The Processing And Settlement Of Securities Trades

Express Mail Label No. EM269697860US

<b>APPLICATION ELEMENTS</b> <i>See MPEP chapter 600 concerning utility patent application contents</i>		ADDRESS TO:	Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original, and a duplicate for fee processing)</i>		5. <input type="checkbox"/> Microfiche Computer Program (Appendix)	
2. <input checked="" type="checkbox"/> Specification [Total Pages 36] <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to Microfiche Appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claims(s)</li> <li>- Abstract of the Disclosure</li> </ul>		6. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Copy</li> <li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li> <li>c. <input type="checkbox"/> Statement verifying identity of above copies</li> </ul>	
3. <input checked="" type="checkbox"/> Drawings(s) (35 USC 113) [Total Sheets 5]		7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))	
4. Oath or Declaration [Total Pages 3] <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> New executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from prior application (37 CFR 1.63(d))  <i>(for continuation/divisional with Box 16 completed)</i> </li> <li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b>            Signed statement attached deleting            Inventor(s) named in the prior application,            see 37 CFR a.63(d)(2) and 1.33(b).</li> </ul>		8. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <i>(where there is an assignee)</i>	
		9. <input type="checkbox"/> English Translation Document (if applicable)	
		10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations	
		11. <input type="checkbox"/> Preliminary Amendment	
		12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>	
		13. <input checked="" type="checkbox"/> * Small Entity <input type="checkbox"/> Statement filed in prior application Statement(s) Status still proper and desired <i>(PTO/SB/09-12)</i>	
		14. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>	
		15. <input type="checkbox"/> Other: .....	
<b>NOTE FOR ITEMS 1 &amp; 4D:</b> IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).			

## 16. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information

Continuation  Divisional  Continuation-in-part of prior application No.:

*Prior application information: Examiner Group/Art Unit:*  
**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure or a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number of Bar Code Label	(Insert Customer No or Attach bar code label here)			<input checked="" type="checkbox"/> Correspondence address below
NAME	Wesley W. Whitmyer, Jr.			
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CITY	Stamford	STATE	CT	ZIP CODE
COUNTRY	United States	TELEPHONE	203 324-6155	FAX
				203 327-1096

Name (Print/Type)	Wesley W. Whitmyer, Jr.	Registration No. (Attorney/Agent)	33,558
Signature	<i>[Signature]</i>	Date	2/16/00

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**FEE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.  
 These are the fees effective October 1, 1997.  
 Small Entity payments must be supported by a small entity statement,  
 otherwise large entity fees must be paid. See Forms PTO/SB/09-12.



TOTAL AMOUNT OF PAYMENT

\$1,324.00

Attorney Docket Number 01985-P0040A WWW/TMO

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																										
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payment to: Deposit Account Number 19-4516 Deposit Account Name St.Ongé Steward Johnston & Reens LLC  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 of the Mailing of the Notice of Allowance				3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing for or oath</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing or cover Sheet</td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td></tr> <tr><td>113</td><td>1,840</td><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner Action</td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Informational Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per Property (times number of properties) \$40.00</td></tr> <tr><td>146</td><td>790</td><td>246</td><td>395</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td></tr> <tr><td>149</td><td>279</td><td>249</td><td>395</td><td>For each additional invention to be Examined (37 CFR 1.129(b))</td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="4">* Reduced by Basic Filing Fee paid</td> <td>SUBTOTAL (3) (\$)</td> <td>\$40.00</td> </tr> </tbody> </table>				Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing for or oath	127	50	227	25	Surcharge - late provisional filing or cover Sheet	139	130	139	130	Non-English specification	147	2,520	147	2,520	For filing a request for reexamination	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	113	1,840	113	1,840	Requesting publication of SIR after Examiner Action	115	110	215	55	Extension for reply within first month	116	380	216	190	Extension for reply within second month	117	870	217	435	Extension for reply within third month	118	1,360	218	680	Extension for reply within fourth month	128	1,850	228	925	Extension for reply within fifth month	119	300	219	150	Notice of Appeal	120	300	220	150	Filing a brief in support of an appeal	121	260	221	130	Request for oral hearing	138	1,510	138	1,510	Petition to institute a public use proceeding	140	110	240	55	Petition to revive - unavoidable	141	1,210	241	605	Petition to revive - unintentional	142	1,210	242	605	Utility issue fee (or reissue)	143	430	243	215	Design issue fee	144	580	244	290	Plant issue fee	122	130	122	130	Petitions to the Commissioner	123	50	123	50	Petitions related to provisional applications	126	240	126	240	Submission of Informational Disclosure Stmt	581	40	581	40	Recording each patent assignment per Property (times number of properties) \$40.00	146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))	149	279	249	395	For each additional invention to be Examined (37 CFR 1.129(b))	Other fee (specify) _____					Other fee (specify) _____					* Reduced by Basic Filing Fee paid				SUBTOTAL (3) (\$)	\$40.00
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PATENT  
01985-P0040A WWW/TMO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants	P. Howard Edelstein, et al.
Serial No. - Pending	Filing Date: <u>February 16</u> , 2000
Title of Application:	System For Facilitating The Processing And Settlement Of Securities Trades

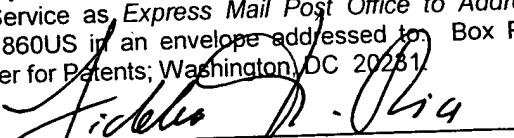
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Cover Sheet For Five Sheets Of Drawings

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